

# Exhibit C

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**MATTHEW MCDUFFIE ROBERTS**

MATTHEW ROBERTS


**CRD#: 5384235**

B Broker *Regulated by* **FINRA**

IA Investment Adviser 

**ARKADIOS CAPITAL**

CRD#: **282710**

1455 Lincoln Pkwy E. Suite 410  
Dunwoody, GA 30346 



**0** Disclosures



**15** Years of Experience

**3** Firms



**5** Exams Passed



**10** State Licenses

Examination(s)

Close

 **State Securities Law Exam**

IA

Series 65 - Uniform Investment Adviser Law Examination  
Jul 2, 2010

B

Series 63 - Uniform Securities Agent State Law Examination  
Sep 14, 2007

## ■ General Industry/Products Exam

B SIE - Securities Industry Essentials Examination  
Oct 1, 2018

B Series 7 - General Securities Representative Examination  
Dec 17, 2009

B Series 6 - Investment Company Products/Variable Contracts Representative  
Examination  
Sep 11, 2007

Additional information including this individual's professional designations is available in the Detailed Report.

License(s)

Close

## State Registrations

B Alabama

IA Georgia

B California

B North Carolina

B Colorado

B South Carolina

B Florida

B Texas

B Georgia

B Wisconsin

## SRO Registrations

B FINRA

Not all jurisdictions require IAR registration or may have an exemption from registration.

Current Registration(s)

Close

B **ARKADIOS CAPITAL (CRD#:282710)**

📌 1455 Lincoln Pkwy E. Suite 410, Dunwoody, GA 30346

Registered with this firm since 4/29/2022

IA **ARKADIOS WEALTH ADVISORS (CRD#:288863)**

📌 1455 Lincoln Pkwy E. Suite 410, Dunwoody, GA 30346

Registered with this firm since 5/2/2022

Previous Registration(s)

Close

**WELLS FARGO CLEARING SERVICES, LLC (CRD#:19616)**

ATLANTA, GA

07/16/2010 - 05/05/2022

**WELLS FARGO CLEARING SERVICES, LLC (CRD#:19616)**

ATLANTA, GA

09/13/2007 - 05/05/2022

**Additional Information**

The content of this summary, and the available detailed report, is governed by FINRA Rule 8312, and is primarily based on information filed on [uniform registration forms](#). Rule 8312, amendments to the rule and notices related to U.S. Securities and Exchange Commission approval orders, can be viewed [here](#).

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Click [here](#) for more information about how to check on an investment professional.

B Broker

A brokerage firm, also called a broker-dealer, is in the business of buying and selling securities – stocks, bonds, mutual funds, and certain other investment products – on behalf of its customer (as broker), for its own bank (dealer), or both.

Individuals who work for broker-dealers - the sales personnel are commonly referred to as brokers.

IA Investment Adviser

An investment adviser is paid for providing advice about securities to clients. In addition, some investment advisers manage investment portfolios and offer financial planning services. It is common for a financial professional to act as both a broker and an investment adviser. Because of this, we include investment advisers on BrokerCheck, and provide links to the [SEC's Investment Adviser Public Disclosure \(IAPD\) website](#) so you can research further.

 Previously Registered

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